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ABSTRACT

After updating and revising the manual serials record in June 1973, the serials department of the Kearney State College Library was automated. The functions automated were: (1) citation of index and abstract services, (2) binding notification, (3) indication of publication frequency, (4) compilation of subject lists, and (5) holding statements including format and internal location. Preparation of renewals was partly automated. However, check-in and claiming were not automated. Reasons for the automation of each function were discussed along with the codes representing that function and the resulting advantages and/or disadvantages. The coding form and generated output were also described. (Author/HB)

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# Serials Automation at Kearney State College

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NATIONAL INSTITUTE OF EDUCATION

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IR002928

Since the February 1970 issue of Library Literature, over forty-six articles have been cited there concerning the automation of serials. None of these articles, however, deal with a system resembling that used at Kearney State College. Recent literature deals with on-line systems and particular off-line applications. Kearney's system is not on-line, but it does include off-line applications previously described. However, they are not printed by the computer in the format used at Kearney, and, this does, to some extent, make the entire system unique. Also, serial here means periodicals and newspapers. Continuations, or standing orders, were not automated.

Serial records at KSC previously consisted of two files. One of 3"x5" cards used for renewals and the other, a Kardex, used for check-in, claiming, binding control, holdings information, subject list compilation, index notation, and cross reference information. Both were kept in the serials department and used for internal processes. A Line-a-dex was kept at the circulation desk for patron use. It was felt that automating the majority of these procedures would greatly enhance both the accuracy and the speed in which these tasks could be accomplished.

Automation for the sake of automating is never feasible. Check-in and claiming are easily accomplished with the Kardex. Student assistants check-in most of the material, and claims are issued by clerks when bindery shipments are pulled. Consequently, these functions were not automated. Following is a description of those aspects of serials control that were automated. Each item, in most cases, begins by describing the previously used manual procedures.

Index and abstract services that cite a particular title were listed on the Kardex card representing that title. This was done for two reasons: (1) to indicate the importance of the title if it was recommended for deletion, and (2)

to indicate duplication of titles indexed by these services received by the library. The first task could be accomplished rather easily in the Kardex. However, to compare the duplication of periodicals indexed, several weeks of clerical time were involved in going through the cards and typing all titles indexed by a certain service. The library subscribes to seventy-six index and abstract services. There had to be a better way of obtaining this information. Consequently, it was decided to automate this procedure. A numerical code (Figure 1) was devised to represent the index and abstract services. These are expensive and we can now, on the basis of this information, eliminate those that are not needed.

Renewals, as stated above, are done through a file completely separate of the Kardex. Each title being received has a 3"x5" card in this file. All renewal information is on this card and includes title, vendor, and renewal history consisting of purchase order numbers and cleared dates for all years renewed. All renewals are placed in August for the following calendar year. All subscriptions are on a one-year basis with a common expiration date. The cards are arranged alphabetically under vendor. This has been a good manual way of placing renewals, but it was felt that automating the process would eliminate the monotonous tasks of filing subscription cards, finding or replacing lost cards, typing change of address cards, and so on. It was decided to set up a code (Figure 2) representing vendors. The "DIRECT" code will be eliminated next year with the computer providing complete address information.

One of the most important aspects of serials control that was automated was binding notification. Previously, the serials staff had to remove drawers from the Kardex and, on book trucks, cart them to the stacks and examine issues of all titles marked with an orange tab. This meant manually examining over thir-

## INDEX AND ABSTRACT SERVICES CODE

1--READER'S GUIDE TO PER LIT
2--POOLE'S INDEX TO PER LIT
3--EDUCATION INDEX
4--APPLIED SCI & TECH INDEX
5--BIOLOGICAL & AGRICUL INDEX
6--INDUSTRIAL ARTS INDEX
7--INTERNATIONAL INDEX PER
8--SOCIAL SCI & HUMANIT INDEX
9--ART INDEX
10--MUSIC INDEX
11--ACCOUNTANT'S INDEX
12--BUSINESS PERIODICALS INDEX
13--INDEX TO ECONOMIC ARTICLES
14--INDEX TO LITTLE MAGAZINES
15--CURRENT INDEX TO JRNLS IN EDUC
16--STATE EDUCATION JRNL INDEX
17--CUMULATIVE INDEX NURSING LIT
18--BIBLIOGRAPHIC INDEX
19--BIOGRAPHY INDEX
20--GUIDE TO DANCE PERIODICALS
21--LIBRARY LITERATURE
22--PHILOSOPHER'S INDEX
23--PAIS
24--BIOLOGICAL ABSTRACTS
25--CHEMICAL ABSTRACTS
26--INDEX MEDICUS
27--NUTRITION ABSTRACTS & REV
28--PSYCHOLOGICAL ABSTRACTS
29--EDUCATIONAL ADMINISTR ABSTR
30--HISTORICAL ABSTRACTS
31--SOCIOLOGICAL ABSTRACTS
32--MUSIC ARTICLE GUIDE
33--MENTAL RETARDATION ABSTR
34--ABSTRACTS ENGLISH STUDIES
35--ABSTRACTS FOLKLORE STUDIES
36--FOOD SCIENCE ABSTRACTS
37--NUCLEAR SCIENCE ABSTRACTS
38--COLLEGE STUD PERSONNEL ABST
39--BOOK REVIEW INDEX
40--GUIDE TO GEOGRAPHICAL PER
41--JOURNAL OF ECONOMIC LIT
42--JOURNAL OF ECONOMIC ABSTR
43--DSH ABSTRACTS
44--MLA ABSTRACTS
45--DEVELOPMENTAL BIOL AND TERA
46--POVERTY HUMAN RESOURCES ABS
47--HORTICULTURAL ABSTRACTS
48--ABSTRACTS IN ANTHROPOLOGY
49--AMERICA: HISTORY & LIFE
50--BUSINESS EDUCATION INDEX
51--ABS POL SCI
52--ABSTRACTS OF ENTOMOLOGY
53--ABSTR HOSPIT MANAGE STUDIES
54--AIR POLLUTION ABSTRACTS
55--AMERICAN LITERATURE ABSTR
56--ANALYTICAL ABSTRACTS
57--ANIMAL BREEDING ABSTRACTS
58--CRIME AND DELINQUENCY ABSTR
59--CUR PHY ADV ABS ATOMS & WAVE
60--EDUCATIONAL ABSTRACTS
61--EXCEPTIONAL CHILD EDUCA ABS
62--GEOPHYSICAL ABSTRACTS
63--HOME ECONOMICS RESEARCH ABS
64--LANGUAGE TEACHING ABSTRACTS
65--POLLUTION ABSTRACTS
66--PSYCHOPHARMACOLOGY ABSTRACTS
67--NURSING LITERATURE INDEX
68--POPULATION INDEX
69--ENVIRONMENTAL PER BIBLIOG
70--HUMANITIES INDEX
71--SOCIAL SCIENCES INDEX
72--INDEX U.S. GOV PERIODICALS
73--AIR UNIV INDEX MILITARY PER
74--INTER INDEX MULT-MEDIA INFO
75--MEDIA REVIEW DIGEST
76--MULTI MEDIA REVIEWS INDEX

**Figure One**

| VENDOR CODE |
|---|
| 1--EBSCO |
| 2--NEA, PLAN I |
| 3--H. W. WILSON |
| 4--STECHERT-HAFNER |
| 5--AMER MANAG ASS'N |
| 6--ALA |
| 7--AMER CHEM SOCIETY |
| 8--AMER PER & GUIDE AS |
| 9--MOODY'S |
| 10--DIRECT |
| 11--GIFT |
| 12--GOVERNMENT |

Figure Two

| BIND CODE | |
|---|---|
| 1--JANUARY | 25--TWICE A YEAR MAY NOV |
| 2--FEBRUARY | 26--TWICE A YEAR JUNE DEC |
| 3--MARCH | 31--THREE A YEAR JAN MAY SEPT |
| 4--APRIL | 32--THREE A YEAR FEB JUNE OCT |
| 5--MAY | 33--THREE A YEAR MAR JULY NOV |
| 6--JUNE | 34--THREE A YEAR APRIL AUG DEC |
| 7--JULY | 41--FOUR A YEAR JAN APR JULY OCT |
| 8--AUGUST | 42--FOUR A YEAR FEB MAY AUG NOV |
| 9--SEPTEMBER | 43--FOUR A YEAR MARCH JUNE SEPT DEC |
| 10--OCTOBER | 61--SIX A YEAR JAN MARCH MAY JULY SEPT NOV |
| 11--NOVEMBER | 62--SIX A YEAR FEB APR JUNE AUG OCT DEC |
| 12--DECEMBER | |
| 13--PBS | |
| 14--EACH MONTH | |
| 21--TWICE A YEAR JAN JULY | |
| 22--TWICE A YEAR FEB AUGUST | |
| 23--TWICE A YEAR MARCH SEPT | |
| 24--TWICE A YEAR APRIL OCTOBER | |

Figure Three

teen hundred titles four times a year. It took two clerks and one professional at least three full days to pull the shipment. Automation had to provide a better way -- and it did. A code (Figure 3) was devised to cover the systematic pulling of all titles to be bound. The code assigned to a specific title was dictated by historical check-in data, i.e., when the last issue per volume usually arrived, the number of times during the calendar year the title had been bound, and frequency of

| PUBLICATION CODE | |
|---|---|
| A--DAILY | R--20/YR |
| B--3/YR | S--28/YR |
| C--WEEKLY | T--14/YR |
| D--BI-WEEKLY | U--22/YR |
| E--MONTHLY | V--4/YR |
| F--BI-MONTHLY | W--12/YR |
| G--SEMI-MONTH | X--19/YR |
| G--SEMI-ANNUAL | Y--3/WK |
| I--ANNUAL | Z--37/YR |
| J--10/YR | 1--6/YR |
| K--9/YR | 2--2/WK |
| L--11/YR | 3--21/YR |
| M--IRREGULAR | 4--31/YR |
| N--8/YR | 5--18/YR |
| O--7/YR | 6--17/YR |
| P--5/YR | 7--13/YR |
| Q--QUARTERLY | |

**Figure Four**

| SUBJECT CODE | |
|---|---|
| A--ART | O--MATHEMATI |
| B--BIOLOGY | P--MUSIC |
| C--BUSINESS | Q--PHILOSOPH |
| D--CHEMISTRY | R--PHYS ED |
| E--EDUCATION | S--PHYSICS |
| F--ENGLISH | T--POLIT SCI |
| G--FORE LANG | U--PSYCHOLOG |
| H--GENERAL | V--SOCIOLOGY |
| I--GEOGRAPHY | W--SPEECH-TH |
| J--HISTORY | X--VOCAT ED |
| K--HOME ECON | Y--COUNEPSY |
| L--INDUST ED | 3--ECONOMICS |
| M--JOURNALIS | 4--SPEC EDUC |
| N--LIBRARY | |

**Figure Five**

publication. Now, the computer produces a monthly list of items ready for binding. The list is divided by code, i.e., in January the list contains all titles coded under numbers 1, 14, 21, 31, 41, and 61. Pulling issues now takes less than half a day.

| FORM OF HOLDINGS CODE |
|---|
| B--BOUND |
| U--UNBOUND |
| M--MICROFILM |
| C--CASSETTE |
| A--UNBD CUR MON |
| D--UNBD PREV 3 MO |
| E--UNBD CUR YR |
| F--MICROCARD |
| G--BD CUR YR |
| H--MICROFICHE |
| I--UNBD PREV 2 YR |
| J--ULTRAFICHE |

Figure Six

| INTERNAL LOCATION CODE |
|---|
| A--ABSTRACTS AREA |
| B--CHECK-OUT DESK |
| C--CURRICULUM AREA |
| D--CUR SHELF 2 YR |
| E--ON RESERVE |
| F--ARCHIVES |
| G--GOV DOC AREA |
| H--NEWSPAPER AREA |
| I--INDEX AREA |
| J--REFERENCE AREA |
| K--ORDER DEPARTME |
| L--SPECIAL COLLEC |
| M--BOUND AREA |
| N--MICROFILM AREA |
| O--LEARN MAT COLL |
| P--SERIALS ROOM |
| Q--DIRECTOR OFFIC |

Figure Seven

Frequency of publication was listed on the Kardex card to provide that bibliographic information. It is important to know, in check-in, claiming, and binding, how often a particular title is published. For these reasons it was included in the automated system, and a code (Figure Four) was set up for it.

Subject lists are also provided by the computer. Subjects covered by a specific title were listed on the Kardex card representing that title. The subjects listed reflected academic departments. Each summer the serials clerical staff would manually go through the Kardex file, card by card, and compile subject

lists -- this amounted to twenty-eight lists, some containing as little as thirty titles and some as many as four hundred. The lists had to include title, where indexed, frequency of publication, holdings, format of holdings, and location of holdings. Compilation, typing, duplication, and stapling took two and a half to three months. Automation of this process was a total necessity. A code (Figure Five) was devised to numerically represent each subject. The result is computer generated subject lists providing complete bibliographic and holdings information per title. The first edition was generated in September of 1974. They were burst by the serials clerical staff and bound into print-out holders. They are now printed quarterly and sent directly to the academic departments, i.e., history receives the history list, English the English list, and so on. The department secretary bursts the pages, tosses the old edition away, and places the new one in the holder.

The two other codes used, format of holdings ( Figure Six) and holdings location (Figure Seven), describe each holdings statement. For each title there can be as many as eight holdings statements. The number of statements per title are dictated by format and location. For example, the library has volumes 1-50 of a particular title. Volumes 1-10 are unbound, 11-20 are on microfilm, 21-30 are on microfiche, 31-40 are on ultrafiche, and 41 through current are bound. The resulting holdings statement would be listed as follows:

| | | | |
|---|---|---|---|
| 1-10 | YR-YR | UNBOUND | CHECK-OUT DESK |
| 11-20 | YR-YR | MICROFILM | MICROFILM AREA |
| 21-30 | YR-YR | MICROFICHE | MICROFILM AREA |
| 31-40 | YR-YR | ULTRAFICHE | MICROFILM AREA |
| 41- | YR- | BOUND | BOUND AREA |

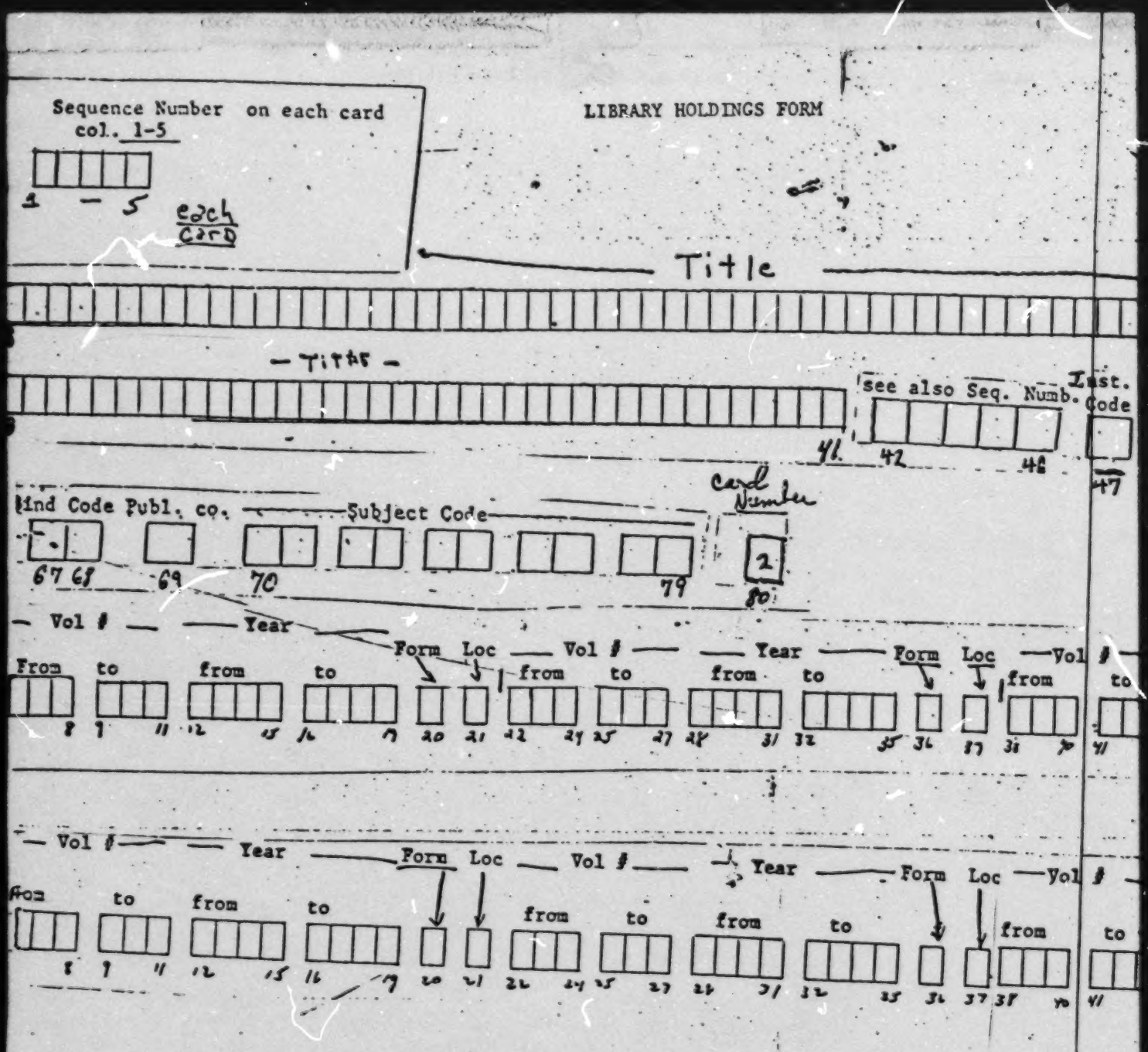


Figure Eight

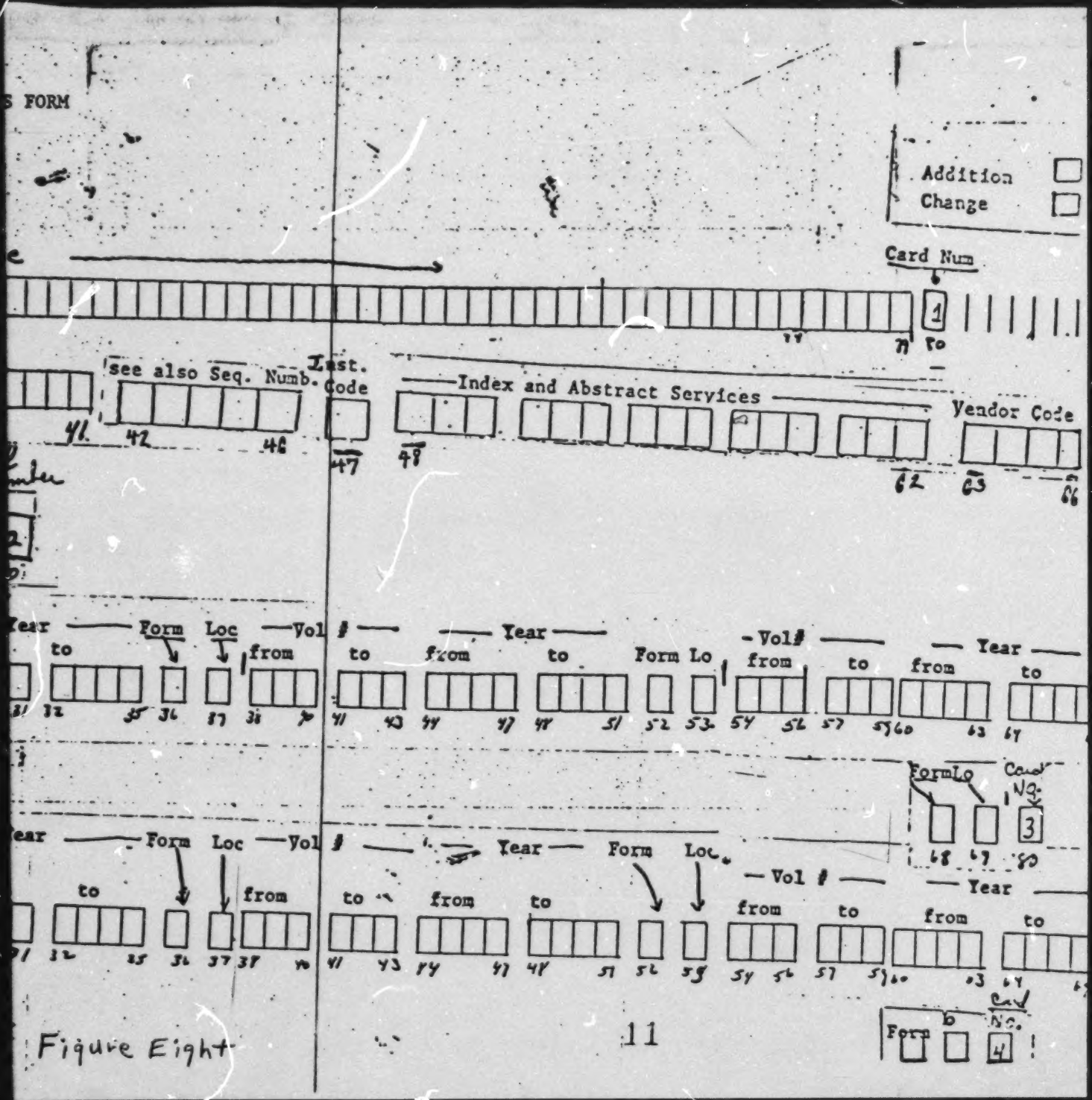


Figure Eight

With the codes set up, a coding form had to be devised to incorporate them. This is shown in Figure Eight. The first item listed is a sequence number. This was not assigned manually -- the completed code forms were sent to the Computer Center in alphabetical order and the IBM 360/30 assigned numbers at intervals of thirty. The form was devised by the Serials Librarian and the Director of the Computer Center.

The next item is the title. It was completely written out since truncated or abbreviated titles were not wanted. Serials held in the Library of American Civilization ultrafiche collection are listed with title and fiche numbers all on the title line. Government periodicals are entered by title followed by the Superintendant of Documents Number.

The "1" in column eighty indicates that this is to be keypunched onto card one. There are four cards per title as the form indicates.

The next item listed is the see also sequence number. This is used to indicate title changes. The earliest title gives as see also sequence number the second title. This title will refer to the third and so on until the current title refers to the original.

Institution code, listed next, was included in case other libraries would someday want to form a union list. The "K" on the print-out examples (Figures Nine and Ten) indicate Kearney State College.

The index and abstract services section provides for the coding of five such services per title. This was considered more than adequate. Also, each entry has three columns providing for inclusion of services if their number should reach into three figures.

Vendor code is given four columns even though the codes are in two figures. This is to provide for the elimination of the "DIRECT" code as described earlier.

Bind code is stable as is since all possible pulling dates are presently included.

The publication code, or frequency identification, is considered stable at one column even though all twenty-six alphabetical letters and numbers one through seven are now used. It has been over six months since this code has been expanded.

Holdings statements are coded by writing in volumes, corresponding years, form, and location. As stated earlier, the volumes and years listed per statement are determined by the form and location. Also to repeat, codes are used to indicate form and location, and actual volume numbers and years are written in. The only drawback to this has been the lack of the ability to indicate missing issues.

The coding of the libraries 2,600 periodicals and newspapers was done by four people and took a little over three months.

The results have been the generation of a holdings list (Figure Nine) and an internal use list (Figure Ten). The holdings list replaces the Line-a-dex at the circulation desk. Whereas the Line-a-dex could only indicate title and holdings, the print-out lists title, holdings, form of holdings, location of holdings, and cross references. It is replaced monthly by a completely up-dated edition.

The internal use list is a print-out containing all information on the coding form. It is used in adding titles and correcting wrong information. This is done through the code form.

SEQ NO ---TITLE---
36015 HOUSING AND PLANNING REFERENCES (GOV. DOC. NO.HH 1.23/3: NOS.)

| | | | | |
|---|---|---|---|---|
| VOL NUMBR | - | - | - | - |
| DATE | 1974- | - | - | - |
| HOLD FORM | UNBOUND | | | |
| INTRNL LOC | GOV. DOC. AREA | | | |

SEQ NO ---TITLE---
36030 HUDSON REVIEW

| | | | | |
|---|---|---|---|---|
| VOL NUMBR | 1- | - | - | - |
| DATE | 1948- | - | - | - |
| HOLD FORM | BOUND | | | |
| INTRNL LOC | BOUND AREA | | | |

SEQ NO ---TITLE---
36060 HUMAN CONTEXT

| | | | | |
|---|---|---|---|---|
| VOL NUMBR | 3- | - | - | - |
| DATE | 1971- | - | - | - |
| HOLD FORM | BOUND | | | |
| INTRNL LOC | BOUND AREA | | | |

SEQ NO ---TITLE---
36090 HUMAN DEVELOPMENT

| | | | | |
|---|---|---|---|---|
| VOL NUMBR | 8- 8 | 9- 12 | 13- | - |
| DATE | 1965-1965 | 1966-1969 | 1970- | - |
| HOLD FORM | BOUND | MICROFILM | BOUND | |
| INTRNL LOC | BOUND AREA | MICROFILM AREA | BOUND AREA | |

SEQ NO ---TITLE---
36120 HUMAN ECOLOGY

| | | | | |
|---|---|---|---|---|
| VOL NUMBR | 1- | - | - | - |
| DATE | 1972- | - | - | - |
| HOLD FORM | UNBOUND | | | |
| INTRNL LOC | CHECK-OUT DESK | | | |

SEQ NO ---TITLE---
36165 HUMAN NEEDS (GOV. DOC. NO.HE 17.26: VOL/NOS.)

| | | | | |
|---|---|---|---|---|
| VOL NUMBR | 1- 1 | - | - | - |
| DATE | 1972-1973 | - | - | - |
| HOLD FORM | UNBOUND | | | |
| INTRNL LOC | GOV. DOC. AREA | | | |

SEQ NO ---TITLE---
36180 HUMAN ORGANIZATION

| | | | | |
|---|---|---|---|---|
| VOL NUMBR | 28- | - | - | - |
| DATE | 1969- | - | - | - |
| HOLD FORM | UNBOUND | | | |
| INTRNL LOC | CHECK-OUT DESK | | | |

HH 1.23/3: NOS.)

SEE ALSC SEQUENCE NUMBER 86265

SEE ALSC SEQUENCE NUMBER 87160



Figure Nine

SPEEDIFLO® MOORE BUSINESS FORMS, INC. 27 1413

COLLEGE LIBRARY SERIALS LISTING

| SEQ NO | ---TITLE---- | | | | |
|---|---|---|---|---|---|
| 36060 | HUMAN CONTEXT | | | | |
| K | | | | | |
| | INDEX AND ABSTRACT SERVICES | VENDOR | BINDING SCHED | PUBL SCHED | SUBJ |
| | | EBSCO | MAY | 3/YR. | SOCI |
| | | | | | PSYC |

| SEQ NO | ---TITLE---- | | | | |
|---|---|---|---|---|---|
| 36090 | HUMAN DEVELOPMENT | | | | |
| K | | | | | |
| | INDEX AND ABSTRACT SERVICES | VENDOR | BINDING SCHED | PUBL SCHED | SUBJ |
| | EDUCATION INDEX | EBSCO | JANUARY | QUARTERLY | BIOL |
| | CURRENT INDX TO JRNLS IN ED | | | | PSYC |
| | BIOLOGICAL ABSTRACTS | | | | |
| | INDEX MEDICUS | | | | |
| | PSYCHOLOGICAL ABSTRACTS | | | | |

| SEQ NO | ---TITLE---- | | | | |
|---|---|---|---|---|---|
| 36120 | HUMAN ECOLOGY | | | | |
| K | | | | | |
| | INDEX AND ABSTRACT SERVICES | VENDOR | BINDING SCHED | PUBL SCHED | SUBJ |
| | ENVIRONMENTAL PER BIBLIOG | DIRECT | | SEMI-ANNUAL | BIOL |
| | | | | | PSYC |
| | | | | | SOCI |
| | | | | | GEOG |

| SEQ NO | ---TITLE---- | | | | |
|---|---|---|---|---|---|
| 36165 | HUMAN NEEDS (GOV. DOC. NO.HE 17.26: VOL/NOS.) | | | | |
| K | | | | | |
| | INDEX AND ABSTRACT SERVICES | VENDOR | BINDING SCHED | PUBL SCHED | SUBJ |
| | POVERTY HUMAN RESOURCES ABS | | | | SOCI |



Page Figure Ten

| C PUBL SCHED | SUBJ AREA | VOL NUMB FROM-TO | DATE FROM-TO | HOLD FORM | INTERNAL LOC |
|---|---|---|---|---|---|
| | | 3- | 1971- | BOUND | BOUND AREA |
| 3/YR. | SOCIOLOGY | - | - | | |
| | PSYCHOLOG | - | - | | |
| | | - | - | | |
| | | - | - | | |
| | | - | - | | |
| | | - | - | | |
| | | - | - | | |

| C PUBL SCHED | SUBJ AREA | VOL NUMB FROM-TO | DATE FROM-TO | SEE ALSO HOLD FORM | SEQ NUMB 86265 INTERNAL LOC |
|---|---|---|---|---|---|
| | | 8- 8 | 1965-1965 | BOUND | BOUND AREA |
| QUARTERLY | BIOLOGY | 9- 12 | 1966-1969 | MICROFILM | MICROFILM AREA |
| | PSYCHOLOG | 13- | 1970- | BOUND | BOUND AREA |
| | | - | - | | |
| | | - | - | | |
| | | - | - | | |
| | | - | - | | |
| | | - | - | | |

| C PUBL SCHED | SUBJ AREA | VOL NUMB FROM-TO | DATE FROM-TO | HOLD FORM | INTERNAL LOC |
|---|---|---|---|---|---|
| | | 1- | 1972- | UNBOUND | CHECK-OUT DESK |
| SEMI-ANNUAL | BIOLOGY | - | - | | |
| | PSYCHOLOG | - | - | | |
| | SOCIOLOGY | - | - | | |
| | GEOGRAPHY | - | - | | |
| | | - | - | | |
| | | - | - | | |
| | | - | - | | |

| C PUBL SCHED | SUBJ AREA | VOL NUMB FROM-TO | DATE FROM-TO | SEE ALSO HOLD FORM | SEQ NUMB 87160 INTERNAL LOC |
|---|---|---|---|---|---|
| | | 1- 1 | 1972-1973 | UNBOUND | GOV. DOC. AREA |
| | SOCIOLOGY | - | - | | |
| | | - | - | | |
| | | - | - | | |
| | | - | - | | |
| | | - | - | | |
| | | - | - | | |
| | | - | - | | |

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page

As previously indicated, also generated are binding lists and subject lists. These include all information on the coding forms and resemble exactly the internal use list except that titles are by binding date or academic subject.

Other lists are by internal location such as items on the INDEX AREA, ABSTRACT AREA, GOV DOC AREA, NEWSPAPER AREA, and so on, by form listing everything on microfilm, unbound, or bound form, and so on, and by index or abstract service listing all titles cited by a particular service.

Automation has greatly simplified many tasks of the serials department at the Calvin T. Ryan Library of Kearney State College. It has made the results more accurate and more readily available. It has greatly improved the services provided to the academic community by the serials department.